Docket No.

243103US2SRD

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

Tomokazu MORITA, et al.

SERIAL NO: NEW APPLICATION

GAU:

FILED:

HEREWITH

EXAMINER:

FOR:

NEGATIVE ELECTRODE ACTIVE MATERIAL FOR NONAQUEOUS ELECTROLYTE SECONDARY

BATTERY AND NONAQUEOUS ELECTROLYTE SECONDARY BATTERY

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

COMMISSIONER FOR PATENTS ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- □ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number <u>15-0030</u>. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND, MAIER & NEUSTADT, P.C.

Marvin J. Spivak

Registration No. 24,913

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Customer Number

22850

Tel. (703) 413-3000 Fax. (703) 413-2220 (OSMMN 05/03) Docket No. 243103US2SRD

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LIST OF RELATED CASES

Serial or Filing or Inventor/

<u>Docket Number</u> <u>Patent Number</u> <u>Issue Date</u> <u>Applicant</u>

195604US0 SRD 6,495,291 12/17/02 KOHNO et al.

DOCKET NO.: 243103US2SRD

page <u>1</u> of <u>1</u>

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Tomokazu MORITA, et al.

SERIAL NO.: New Application

FILED: Herewith

FOR: NEGATIVE ELECTRODE ACTIVE MATERIAL FOR NONAQUEOUS

ELECTROLYTE SECONDARY BATTERY AND NONAQUEOUS

ELECTROLYTE SECONDARY BATTERY

STATEMENT OF RELEVANCY

Reference AA (6,383,686) on Form PTO-1449:

This patent discloses an anode material for lithium secondary battery, comprising a particulate core composed of a metal or semimetal capable of forming a lithium alloy and a carbon layer covering the surface of the particulate core. Silicon is used as a particulate core.

Reference AO (2000-215887) on Form PTO-1449:

This publication is referred to in the specification. See page 3, line 1.

Reference AW on Form PTO-1449:

This paper shows anode properties and XRD patterns of Si-O-C compounds synthesized by pyrolyzing silicon containing polymers. These Si-O-C compounds have no XRD peaks related silicon crystal.

Form PTO 1449 U.S. DEPARTMENT OF COMMERCE (Modified) PATENT AND TRADEMARK OFFICE		OF COMMERCE DEMARK OFFICE	ATTY DOCKET NO. 243103US2SRD		SERIAL NO. NEW APPLICATION				
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LIST OF	REFER	RENCES CITED BY AF	PLICANT	Tomokazu MORITA, et al.					
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U.S. PATENT DOCUMENTS									
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS			
	AA	6,383,686 B1	5/7/02	Tatsuo UMENO, et al.					
	AB	6,495,291 B1	12/17/02	Tatsuoki KOHNO, et al.					
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FOREIGN PATENT DOCUMENTS									
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OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)									
	AW	Weibing XING, et al. "PYROLYZED POLYSILOXANES FOR USE AS ANODE MATERIALS IN LITHIUM-ION BATTERIES," J. Electrochem. Soc., Vol. 144, No. 7, July 1997, pg. 2410-2416.							
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	AZ				Addi	Additional References sheet(s) attached			
Examiner					Date Considered				
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.									